

DRAFT SAMPLE

Approved Standards for Retention of Permanent Records Held in XYZ Agency's ABC System

1.0 Overview:

- 1.1 ARS § 39-101 (A) provides that “[p]ermanent public records of the state... shall be transcribed or kept on paper or other material which is of durable or permanent quality and which conforms to standards established by the director of the Arizona State Library, Archives and Public Records” and ARS § 39-101(B) provides that such records shall be “... stored and maintained according to standards for the storage of permanent public records established by the director of the Arizona State Library, Archives and Public Records.”

2.0 Agreement:

- 2.1 The Director of the Arizona State Library, Archives and Public Records (ASLAPR) hereby approves the methodology reflected in Section 3 as meeting the standards of ARS § 39-101 (A) for creating, securing, compiling, keeping, storing and maintaining the public records found at XYZ Agency in their ABC system to be permanently preserved in electronic form.
- 2.2 The Director and the CIO of XYZ Agency agree to maintain the methodology reflected in Section 3 and to abide by the transfer and certification requirements of Section 4 and Section 5.
- 2.3 Subject to the provisions of Section 5.2, the agreement remains in force unless both parties mutually agree to substitution of another agreement.
- 2.4 This agreement can be modified only upon agreement of both parties in writing.

3.0 Methodology:

3.1 Public Records to be Preserved:

- 3.1.1 Description of permanently valuable public records found in ABC System will be found in this section.

3.2 Method of Securing:

- 3.2.1 Description of how the records will be captured, tracked and stored through the ABC System will be specified in this section.

3.3 Definition and Method of Compiling:



- 3.3.1 Description of how the records will be able to be viewed/sorted will be specified in this section.

3.4 Method of Keeping and Storing:

- 3.4.1 The ABC System consists of:

3.4.1.1 [Sample] *The database*

3.4.1.2 [Sample] *The stored records*

- 3.4.2 Description of how these components are maintained will be specified in this section. [Sample] *The database and stored records are maintained on a server(s) with sufficient redundant hardware and software to assure business continuity.*

3.5 Method of Maintaining:

- 3.5.1 Description of the backup procedures for the ABC System will be specified in this section.
- 3.5.2 Description of where the backups are maintained will be specified in this section
- 3.5.3 Description of how often the backup logs are checked will be specified in this section.
- 3.5.4 Description of how often sample restorations are done will be specified in this section.
- 3.5.5 Description of how often backup media is replaced will be specified in this section.
- 3.5.6 Description of how often the system will be updated to remain current and the update will be documented will be specified in this section. Discussion of how long the pre-existing version will be maintained and how the updated system will be validated will be specified in this section also.
- 3.5.7 Description of data verification process will be specified in this section.
- 3.5.8 The XYZ Agency's software program will be updated to a program and version that is supported by the manufacturer.
- 3.5.9 All records must be converted as necessary to ensure long-term accessibility. Pre-existing versions will be maintained until the validity of the records has been established by opening and comparing a statistically significant, random

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sample of the original and converted records or another agreed upon method at the time of conversion by ASLAPR and XYZ Agency. All conversions will be documented.

3.5.10 Any conversion from the existing ABC System must incorporate the features described in Section 3.3 and import all items described in Section 3.2.

3.5.11 All documents and data will be maintained on-line. At such time that XYZ Agency determines to transfer portions of the ABC System to on-line or near-line storage, ASLAPR will be notified and these inactive portions will be copied or exported and transferred to the State Archives in a format approved by ASLAPR that is appropriate for long-term preservation as negotiated at the time of transfer.

4.0 Transfer of ABC System Upon Termination or Sunset:

4.1 Upon notice of elimination of the ABC Agency through sunset or other termination, the ABC System and all necessary hardware and software to access the ABC System will be transferred to ASLAPR.

4.2 The system shall include the ability to export permanently valuable documents to a format approved by ASLAPR that is appropriate for long-term preservation and is sufficient for use as historical (rather than operational) records, including any indices necessary to find the records. This functionality must be operational before the system can be certified.

5.0 Annual Certification:

5.1 The Director and the CIO of XYZ Agency, after personal inquiry, will certify to ASLAPR on an annual basis that the items listed in Section 3 are true. The certification will include the names and signatures of the Director and CIO, contact addresses and telephone numbers.

5.2 At least once every three years, the Director and CIO of XYZ Agency will review this agreement and report to ASLAPR any recommendations for modification of this agreement that are deemed appropriate due to changes in legislation, technology and work flow processes. In the absence of such report, the agreement will terminate. Any new agreement must then be signed at that time by both parties.

FOR AND ON BEHALF OF THE ARIZONA STATE LIBRARY, ARCHIVES AND STATE RECORDS

GLADYSANN WELLS
Director

Date



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FOR AND ON BEHALF OF THE XYZ AGENCY

Name of Director
Director

Date

Name of CIO
CIO

Date

DRAFT

